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PTO/SB/05 (4/98) Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	4034-22
	First Named Inventor or Application Identified	Thomas C. Naratil
	Title	System For Trading Fixed Income Financial Instruments: U.S. Treasury Securities, Liquid Agencies And Zero Coupon Strips
	Express Mail Label No.	EK580839789US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: <b>Assistant Commissioner for Patents Box Patent Application Washington, DC 20231</b>
-----------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------

1. ☒ \*Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages (preferred arrangement as set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

3. ☒ Drawing(s) (35 USC 113) [Total Sheets

4. Oath or Declaration [Total Pages

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation divisional with Box 17 completed)  
[Note Box 5 below]
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

**NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).**

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

<b>ACCOMPANYING APPLICATION PARTS</b>	
7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & documents(s))	
8. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)	
9. <input type="checkbox"/> English Translation Document (if applicable)	
10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
11. <input type="checkbox"/> Preliminary Amendment	
12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)	
13. <input type="checkbox"/> *Small Entity <input type="checkbox"/> Statement filed in prior application, Statements(s) Status still proper and desired (PTO/SB/09-12)	
14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	
15. <input checked="" type="checkbox"/> Other: <u>Certification of Mailing</u>	

**16. If a CONTINUING APPLICATION,** check appropriate box and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_  
Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<b>17. CORRESPONDENCE ADDRESS</b>					
<input type="checkbox"/> Customer Number or Bar Code Label <span style="border: 1px solid black; padding: 2px;">(Insert Customer No. or Attach bar code label here)</span> or <input type="checkbox"/> Correspondence address below					
NAME	Leslie Gladstone Restaino, Esq.				
	Riker, Danzig, Scherer, Hyland & Perretti LLP				
ADDRESS	Headquarters Plaza				
	One Speedwell Avenue				
CITY	Morristown	STATE	NJ	ZIP CODE	07962
COUNTRY	USA	TELEPHONE	973-538-0800	FAX	973-538-1984
Name (Print/Type)	Leslie Gladstone Restaino			Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>			Date	07/17/2000

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
Attorney Docket No.:  
For:

Thomas C. Naratil  
4034-22  
SYSTEM FOR TRADING FIXED INCOME FINANCIAL  
INSTRUMENTS: U.S. TREASURY SECURITIES, LIQUID  
AGENCIES AND ZERO COUPON STRIPS

jc833 U.S. PTO  
09/617853  
07/17/00

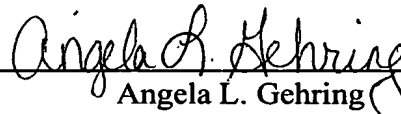
Headquarters Plaza  
One Speedwell Avenue  
Morristown, N.J. 07962  
July 17, 2000

Box Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No.  
EK580839789US, together with the accompanying papers directed to the above-  
identified Utility Patent Application are being deposited with the United States  
Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10  
on the date indicated above and are addressed to Box Patent Application, Assistant  
Commissioner for Patents, Washington, D.C. 20231.

  
Angela L. Gehring  
(Mailer)

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<b>FEE TRANSMITTAL for FY 2000</b>				<b>Complete if Known</b>																																																																																																																																																																																							
<i>Patent fees are subject to annual revision.</i> <b>Small Entity payments must be supported by a small entity statement otherwise large entity fees must be paid. See Forms PTO/SB/09-12 See 37 C.F.R. § 1.27 and 1.28</b>				Application Number																																																																																																																																																																																							
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METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																							
<b>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</b>  Deposit Account Number: <span style="border: 1px solid black; padding: 2px;">50-0444</span> Deposit Account Name: <span style="border: 1px solid black; padding: 2px;">Riker, Danzig, Scherer, Hyland &amp; Perretti LLP</span> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. § 1.16 and 1.17				<b>3. ADDITIONAL FEES</b>  <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920**</td><td>112</td><td>920**</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840**</td><td>113</td><td>1,840**</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>690</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="5" style="text-align: right;"><b>**Reduced by Basic Filing Fee Paid</b></td> <td style="text-align: right;"><b>SUBTOTAL (3) (\$)</b> 40.00</td> </tr> </tbody> </table>				Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - 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<b>SUBMITTED BY</b> Name (Print/Type): Leslie Gladstone Restaino Signature: <i>Leslie Gladstone Restaino</i>				<b>Complete (if applicable)</b> Registration No. (Attorney/Agent): 38,893 Telephone: 973-538-0800 Date: 07/17/2000																																																																																																																																																																																							

**WARNING:**

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